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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/690,066	10/16/2000	Craig L. Ogg	36531/RRT/S850	3372

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CHRISTIE, PARKER & HALE, LLP  
PO BOX 7068  
PASADENA, CA 91109-7068

EXAMINER

BACKER, FIRMIN

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 12/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/690,066

Applicant(s)

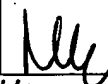
OGG ET AL.

Examiner

Firmin Backer

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 16 October 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-161 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-161 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 4, 5, 6, 8, 9, 10.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

This is in response to a letter for patent filed on October 16<sup>th</sup>, 2000 in which claims 1-161 are presented for examination. Claims 1-161 are pending in the letter.

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-161 are rejected under 35 U.S.C. 102(e) as being anticipated by by Whitehouse (U.S. Patent No. 6,005,945 (*Applicant admitted prior art*)).

The applied reference has a common inventor with the instant application. Based upon the earlier effective U.S. filing date of the reference, it constitutes prior art under 35 U.S.C. 102(e). This rejection under 35 U.S.C. 102(e) might be overcome either by a showing under 37 CFR 1.132 that any invention disclosed but not claimed in the reference was derived from the inventor of this application and is thus not the invention “by another,” or by an appropriate showing under 37 CFR 1.131.

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3. As per claim 1, 20, Whitehouse teaches a security system (*secure central computer, 102*) for printing item in a wide are computer network (*network 100, fig 3, 4, 7*) comprising a plurality of user (enterprise account) terminals (*customer, user, 102*) coupled (*connected*) to the computer network, a database including information about on or more users using the plurality of terminals, a cryptographic device (*cryptographic key*) remote from the plurality of user terminals and coupled to the computer network a cryptographic device includes a computer executable code for authenticating one or more users, a plurality of security device transaction data for ensuring authenticity of the one or more users, wherein each security device transaction data is related to a user (*see abstract, fig 3, 4 and 7, column 6 lines 21-7 line 12, 8 line 30-9 line 63*).

4. As per claim 2, Whitehouse teaches a system wherein the security device transaction data related to a user is loaded into the cryptographic device when the user requests to operate on a value bearing item (*see column 9 line 32-63*).

5. As per claim 3, Whitehouse teaches a system wherein the cryptographic device authenticate the identity of each user and verifies that the identified user is authorized to assume a role and perform a corresponding operation (*see column 9 line 32-63*).

6. As per claim 4-10, Whitehouse teaches a system wherein the assumed role is a security officer role to initiate a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to withdraw from a user account, a user role to operate on a

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VBI, a certificate authority role to allow a public key certificate to be loaded and verified (*see column 18 line 42-20 line 51*).

7. As per claims 11-22, Whitehouse teaches a system wherein the cryptographic device includes a state machine for determining a state corresponding to availability of one or more commands in conjunction with the role, stateless, including data validation subsystem and an auto-recovery subsystem for allowing the device to verify that data is up to data and to automatically re-synchronize the device with the data and a computer executable code for preventing unauthorized modification/disclosure of data, for ensuring proper operation, detecting error, for supporting multiple concurrent user, store transaction information in an internal register (*see column 20 line 55-22 line 65*).

8. As per claims 23, Whitehouse teaches a system wherein a database store a table including the respective information about a transaction a verification module to compare the information saved in the device (*see column 20 line 55-22 line 65*).

9. As per claims 24-26, Whitehouse teaches a system wherein the database includes data such as a virtual meter, ascending and descending register for creating one or more indicium, account maintenance and revenue protection (*see column 12 line 15-13 line 60*).

10.

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11. As per claim 27, 28, 31-36, Whitehouse teaches a system wherein the value bearing item is a mail piece comprises a digital signature, a ticket with a bar code, a coupon, a currency, a voucher or a traveler's check (*fig 2*).

12. As per claims 29, 30, Whitehouse teaches a system wherein the cryptographic device encrypts validation information according to a user request for printing a VBI, generates data sufficient to print a postal indicium in compliance with postal service regulation on the mail piece (*fig 2*).

13. As per claim 37, 38, Whitehouse teaches a system wherein each security device transaction data includes an ascending register value, a descending register value, a respective cryptographic device ID, an indicium key certificate serial number, a licensing ZIP code, a key token for an indicium signing key, user secrets, a key for encrypting user secrets, data and time of last transaction, last challenge received from a respective client subsystem, an operational state of the respective device, expiration dates for keys, and a passphrase repetition list, a private key, a public key, and a public key certificate, wherein the private key is used to sign device status responses and a VBI which, in conjunction with a public key certificate, demonstrates that the device and the VBI are authentic (*see column 10 line 45-11 line 29, 20 line 16-40*).

14. As per claim 39, Whitehouse teaches a system further comprising at least one more cryptographic device remote from the plurality of user terminals coupled to the computer

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network, wherein the at least one more cryptographic device includes a computer executable code for authenticating any of the plurality of users (*see figs 4, and 7*).

15. As per claim 40-44, 49, Whitehouse teaches a system wherein the cryptographic device shares a secret with the at least one more cryptographic device that is a master device and generates a master key set (MKS) includes a Master Encryption Key (MEK) used to encrypt keys when stored outside the device and a Master Authentication Key (MAK) used to compute a DES MAC for signing keys when stored outside of the device exported to other cryptographic devices by any cryptographic device and capable of performing one or more of Rivest, Shamir and Adleman (RSA) public key encryption, DES, Triple-DES, DSA signature, SHA-1, and Pseudo-random number generation algorithms (*see column 4 line 20-27, 16 lines 39-44, 23 lines 41-67*).

16. As per claims 45 and 46, Whitehouse teach a database including a user profile including username, user role, password ... for a subset of the plurality of user.

17. As per claim 47, 48, Whitehouse teaches a method wherein the state machine includes one or more of an uninitialized state, an initialized state, an operational state, an administrative state, an exporting shares state, an importing shares state, and an error state (*see column 9 lines 59-67*).

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18. As per claims 50-161, they disclose the same inventive concept as claims 1-49.

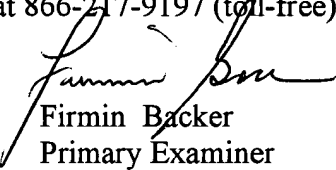
Therefore, they are rejected under the same rationale.

### *Conclusion*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Firmin Backer whose telephone number is (703) 305-0624. The examiner can normally be reached on Mon-Thu 9:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on (703) 305-9768. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Firmin Backer  
Primary Examiner  
Art Unit 3621

Firmin Backer